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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Srivastava, Pramod K.

Application No.: To Be Assigned
(Continuation of Application No. 09/489,218)

Group Art Unit: To Be Assigned

Filed: On Even Date Herewith

Examiner: To Be Assigned

For: IMMUNOTHERAPEUTIC STRESS
PROTEIN-PEPTIDE COMPLEXES
AGAINST CANCER

Attorney Docket No.: 8449-183-999



INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.56 AND §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure imposed by 37 C.F.R. § 1.56 to inform the U.S. Patent and Trademark Office of all references coming to the attention of each individual associated with the filing or prosecution of the subject application which are or may be material to the patentability of any claim of the application, Attorneys for Applicant respectfully direct the Examiner's attention to the references AA to EM listed on the attached revised form PTO 1449.

The above identified application claims priority under 35 U.S.C. § 120 to U.S. Patent Application Serial No. 09/489,218 filed January 21, 2000; U.S. Patent Application Serial No. 09/061,365 filed April 16, 1998 (now U.S. Patent No. 6,017,544 issued January 25, 2000) and U.S. Patent Application Serial No. 08/315,892 filed September 30, 1994 (now U.S. Patent No. 5,750,119 issued February 12, 1998). Pursuant to 37 C.F.R. § 1.98(d), the Examiner is directed to the file of prior Application Serial No. 08/315,892 for copies of references AI to AM, AQ to BJ, and BL to EF. Pursuant to 37 C.F.R. § 1.98(d), the Examiner is directed to the file of prior Application Serial No. 09/061,365 for copies of references AN to AP and BK. Pursuant to 37 C.F.R. § 1.98(d), the Examiner is directed to the file of prior Application Serial No. 09/489,218 for copies of references EG to EL. Reference AC, which was made of record in the prosecution history of application Serial No.

08/315,892 while pending as a United States application, is now issued as a United States patent, a copy of which is provided herewith. For reference EM, which is a pending U.S. application, a copy of the application as filed and claims as pending are submitted herewith.

Identification of the above-listed references is not to be construed an admission of Applicant or Attorneys for Applicant that such references are available as "prior art" against the subject application. Consequently, Applicant respectfully declines to use form PTO-1449, since this form identifies all of the references cited therein as "Prior Art". As an alternative, Applicant submits herewith a "revised form PTO 1449" entitled "List of References Cited".

Applicant respectfully requests that the Examiner review the listed references and that the references be made of record in the file history of the application. While not to be construed as indicating that the Examiner should not review and consider fully all the listed references, Attorneys for Applicants particularly direct the Examiner's attention to references AQ, AY, BG, BO, BY, CB, CM, CN, DL, DU, and EE, which were cited by an Examiner in an office action for patent application Serial No. 08/315,892 filed September 30, 1994 (now U.S. Patent No. 5,750,119 issued May 12, 1998), or in a Search Report for a foreign application that is a counterpart to patent application Serial No. 08/315,892 filed September 30, 1994 (now U.S. Patent No. 5,750,119 issued February 12, 1998). The Examiner's attention is also particularly directed to references EG to EM.

Pursuant to 37 C.F.R. § 1.97(b), since it is believed that this information disclosure statement is being filed before the mailing date of the first Office Action on the merits, no fee is due in connection herewith. However, should the Patent Office determine otherwise, please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A duplicate of this sheet is enclosed.

Date November 14, 2001

Respectfully submitted,

Adriane M. Antler *Reg. No. 31,242*
by General Counsel *32,605*

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Enclosure

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LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-183-999

SERIAL NO.

To Be Assigned (Continuation of
Application No. 09/489,218)

APPLICANT

Pramod K. Srivastava

FILING DATE

On Even Date Herewith

GROUP

To Be Assigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,997,873	12/07/99	Srivastava			
	AB	5,961,979	10/05/99	Srivastava			
	AC	6,168,793	01/02/01	Srivastava et al.			
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	AI	4,690,915	09/01/87	Rosenberg			
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	EH	09/454,734		Srivastava			12/06/99
	EI	09/657,722		Srivastava			09/08/00
	EM	09/489,218		Srivastava			09/21/00

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AQ	WO 89/12455	12/28/89	PCT				
	AR	WO 90/02564	03/22/90	PCT				
	AS	WO 91/15572	10/17/91	PCT				
	AT	WO 92/01717	02/06/92	PCT				
	AU	WO 92/08484	05/29/92	PCT				
	AV	WO 92/08488	05/29/92	PCT				
	AW	WO 93/14118	07/22/93	PCT				
	AX	WO 93/17712	09/16/93	PCT				

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	BE	WO 94/03599	02/17/94	PCT				
	BF	WO 94/04676	03/03/94	PCT				
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DN	Srivastava et al. (1986) "Tumor rejection antigens of chemically induced sarcomas of inbred mice", <i>Proc. Natl. Acad. Sci. USA</i> 83:3407-3411.
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EXAMINER	DATE CONSIDERED
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>	